STANDARD OPERATING PROCEDURE

II. JOB ANALYSIS AND DATA COLLECTION

A. Purpose

The purpose of this SOP is to provide guidelines and direction for collecting and documenting information about jobs when performing job analysis for purposes of classification, determining minimum qualifications, developing assessment devices or determining training needs.

B. Scope

This SOP provides information on data collection and analysis. The Position Description, desk audit, special questionnaire, interview and other methods of collecting data are addressed. These methods are applicable to individual position classification as well as to development of class specifications and assessment devices.

C. Authority

AS 39.25.150(1) and (3) require the Personnel Rules to provide for a classification plan and the use of employee selection methods.

Section 60-3, Uniform Guidelines on Employee Selection Procedure [43 FR 38295 (August 25, 1978)] provides a standard set of principles on the use of selection procedures in compliance with title VII of the Civil Rights Act of 1964, as amended.

D. Job Analysis-Overview

Job analysis is the systematic process of collecting and making certain judgments about all of the important information relating to the nature of a specific job. When applied to classification, job analysis is concerned with a position's duties and responsibilities, reporting relationships, skill requirements, and other elements that govern its allocation to a particular class. It involves the collection and comparative analysis of facts about positions to identify their principal characteristics. When these meet existing classification standards, positions are allocated to established classes in the organization's classification plan. When a position does not fit an established class, a new class may be created. Job analysis is concerned with identifying critical job tasks, their frequency and the knowledge, skills, abilities and work behaviors needed upon entry to the job class. This information is used to establish minimum qualifications.

The basic purpose of gathering the information is to determine what tasks workers actually perform, how they perform them, why they perform them and which tasks are the most critical for successful job performance. This information is used to determine what knowledge, skills, abilities and work behaviors are needed to perform the duties.

Job analysis requires a logical approach and attention to the following criteria:

1. Gather information about the work performed in the most practicable means possible.

2. Analyze and document in a manner that is understandable to others. The basis for judgments made about this information must also be recorded and documented for future use. Records of the analysis should communicate clearly to others what workers do, how and why they do it, and the basis used to determine the requirements needed to do the work.

E. Data Collection Methods–Specific Guidelines

In selecting a data collection method, consider the purpose for collecting the information. The purpose may be to gather information about a job procedure or clarify work relationships in order to classify one position, to learn general information about a group of positions in order to begin a class series study, or to develop, revise or update minimum qualifications. Following are several data collection methods used by the State of Alaska, along with specific tips or directions to insure that critical information is secured.

1. Position Description (PD) (Addendum A)
NOTE: For Labor Trades and Crafts job classes, see Section E - 2

   a. The PD and its attachments [organizational chart, Fair Labor Standards Act (FLSA) work sheet if necessary, and a job specific questionnaire where appropriate] are the most commonly used method for collecting job information. The PD is the form used for recording the duties and responsibilities assigned to a position and the reporting relationships. It is the basic source of information for classifying a position to a job class or for performing a classification study. It is a starting place for any job analysis, since a major portion is devoted to duty and task statements. The PD is also a tool for management in documenting duties assigned for evaluations, performance, etc.

   The PD requests a variety of interrelated data about the duties and responsibilities of a position. Like any data source, its accuracy (and thus its usefulness) is directly related to the clarity and consistency of the collection method. PDs are prepared by thousands of different individuals, most of whom have had no training in the use of the form. Internal inconsistencies occur. The review process requires analysis of the PD in its entirety to resolve the conflicts and develop an accurate understanding of the job portrayed.

b. The manager should complete the PD with input by the incumbent of the position. The employee usually is most familiar with the details of how the work of the position is accomplished and should have the opportunity to assist in describing the job. This in no way diminishes management's right to assign the work, or to clarify the employee's description. The supervisor or manager will complete PDs for new positions, or those that are vacant. During reorganization, the employee may not be familiar with the new duties to be performed so a description written by the supervisor or manager assigning the work will be more beneficial to the analysis.

c. Review of the Position Description

Use following information as a guide in reviewing the PD.

Identifying current information.

1) Name of incumbent (if any), or vacant.

2) Current job class title (the class title requested is entered in block 10 of the form).

3) Department.

4) Division.

5) Region/Section/Unit.

6) Work phone/fax number/e-mail address.

7) Work Address/Duty Station (Street/City).

8) Name, class title, PCN number and phone number of immediate supervisor.

Position Characteristics and Requested Action which may be completed by the human resources office on the requestor.)

9) Position Status. This describes the working hours/season of this position. Each type of status has a four-letter code used by the State's payroll system in position control. Refer to Section 07-IV-C for abbreviations.

10) Requested Action. The requester indicates the desired changes to the classification and the reason for the request.

11) Organization Code. This is the eight digit numerical code used in position control. The first two digits indicate the state agency. For some agencies the remaining six digits may indicate region, division, section.

12) Commercial Vehicle Driver's license. This indicates whether an incumbent must have a Commercial Drivers License (CDL) and endorsement in order to perform the work.

13) Firearms certification. This indicates if the incumbent of the position is required or permitted to possess or use ammunition or firearms in the course of business.

14) Strike class. This indicates the State's determination of the level of essential services provided to conclude whether an incumbent can or cannot honor a strike should one be called.

Personnel Use Only Section.

The unnumbered blocks at bottom of the front page indicate the results of the classification review.

Duties and Responsibilities Section (15-16).

This is the key section of the PD. It provides a detailed list of duties and job functions that will permit accurate classification. The parts must be read in their entirety to determine how the various tasks and duties fit together into a coherent job.

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15) Main purpose of the job. This should describe the reason the position exists and is the basis for determining the occupational group, family and series within which the position will be classified.

16) Duties and essential functions. The most important duty or most frequent task should be listed first. The individual statements must be viewed as part of a total functioning job to be evaluated properly. The duties should exemplify or at least be consistent with information provided elsewhere in the PD.

    The importance of the task rating is a relative rating scale. There should normally be at least one "**1**" (essential duty), and always one "**5**" (least important duty).

    Note: It is **not** appropriate to list all duties as “1”.

    The percent of time indicated must total 100%.

Physical Requirement and Potential Hazards.

17) This section identifies the physical requirements and hazards of the position. The information is used to help place returning injured workers into jobs, and for compliance with the Americans with Disabilities Act.

    This section should be checked for internal consistency. For example, a job cannot require both sitting and standing over 66 percent of the time each. The selections must also be consistent with duty statements in block #16, and equipment requirements in block #18. Clarification of the reasonably anticipated physical demands and potential hazards inherent in the normal and customary performance of the essential functions may be necessary.

Work structures (blocks 18-21).

18) Equipment, etc. The response in this block will help in documenting physical hazards and in classifying positions that require specific equipment skills, such as computer hardware or firearms. The vital information is equipment operation that is inherent to the job. Even incidental equipment operation may be treated as "inherent" if it

would be impractical to perform the work without it.

19) Guides. This block relates to the number and nature of guides available. The classifier should read the specific statute or manual listed.

20) Actions/Decisions. This block provides information on types and level of decision making responsibilities, and the incumbent's authority to commit the State to a course of action. This should reflect the work described in #16.

21) This section indicates other critical requirements. This lists knowledge, skills and abilities important to the job.

22) Employee comments. This block allows the employee to provide other information or opinion.

23) Employee certification or vacant.

Supervisor's Section (24-32).

24) This block allows additions or exceptions to the information provided in blocks #15 through #22. This information should clarify or refine the information provided by the incumbent. Major disagreements over the duties, responsibilities and/or with actions/decisions made of a position probably require a rewriting of the PD before blocks #31 or 32 can be signed.

25) Supervisory Responsibilities. The supervisor completes this section only if the position has lead or supervisory responsibilities.

The information in item #25 contains information from which bargaining unit determinations are made. 8AAC 97.990 defines a supervisory employee to mean:

> " … an individual, regardless of job description or title, who has the authority to act or effectively recommend action in the interest of the public employer in any one of the following supervisory functions, if the exercise of that authority is not

merely routine but also requires the exercise of independent judgment:

a) employing, including hiring, transferring, laying off, or recalling;
b) discipline, including suspending, discharging, demoting, or issuing written warning; or
c) grievance adjudication, including responding to a first level grievance under a collective bargaining unit agreement."

See SOP 07-VI for the application of this definition and for the definition of appoint, promote and transfer.

Lead level is defined as having continuous responsibility over other employees while performing the same or comparable work of subordinates. Lead responsibilities include instructing and training staff, assigning and checking work, setting task priorities, and preparing evaluations. Lead workers may also assist in appointing or promoting employees.

26) This block describes most important purpose, service or product of the position which identifies the end result that would be missing should the position not exist. This should relate to item #15.

27) This lists specific or specialized training, education, experience and/or skill required to perform the duties of this position. This block is position specific, but is also helpful when considering minimum qualifications for the job class.

28) This lists licenses, certifications, registrations, and statutory and regulatory requirements. The specific license, certification, registration, law or regulation requirement should be cited.

29) Lists other employees under supervisor's control with the same or similar duties and responsibilities.

30) An approved staffing chart must be attached to the PD. It

is used to clarify organizational structure, supervisor/subordinate relationships, and work flow. The chart should include the correct position control numbers, current class titles, salary ranges, location, and reflect the proposed structure.

31) Supervisor's certification. The supervisor certifies the completeness and accuracy of the PD.

32) Division review. The division director or designee certifies the completeness and accuracy of the PD. If the director finds the PD to be incomplete or inaccurate, the director should return it for correction.

33) Personnel Office or Departmental Certification. The Human Resources Manager or designee certifies the completeness and accuracy of the PD.

Attachments:

An approved current staffing chart.

An FLSA work sheet for all positions for which the state claims an overtime eligibility exemption. This includes new positions, updates, and reclassification requests. The review and analysis must reflect consideration of the issues, and should not be a routine boiler plate statement.

There may be job class specific addenda developed for the job class if requested by the agency.

2. Position Description Form (PDF) Labor, Trades and Crafts (Addendum B)

a) The 1999 Statewide study of the classifications subject to the Labor, Trades and Crafts collective bargaining agreement resulted in competency based career area specifications. Subject matter and HR experts, employees, supervisors, managers, and union business agents identified specific career area elements that distinguish the levels of work. Level definitions were developed that apply across occupation lines.

Career Occupational Families is the broad category encompassing the nature of the work. Labor, Trades and Crafts are what is considered "blue collar" or "gray collar," as opposed to managerial, professional, or scientific occupations.

Career Area is a specific designation which describes the commonality of work and allows for specific preparation or advancement, i.e. Driller, Engineering Technician, etc.

The Career Area Specification defines and describes the nature of the work. It also is an essential part of the PDF.

The supervisor determines the appropriate career area, the level of work performed and the competencies required of incumbents in order to perform the essential and marginal functions/duties of the position.

To use the Career Area Specification successfully you must understand that it is built upon the following system:

Career area defines the specific occupation.

Level of work definitions (Journey, Lead, etc.) have the same meaning, regardless of the career area.

Specific competencies are identified that are unique to the career area, and to the level within the career area. The career area is identified by a unique class code and title and the level is identified by a specific Wage Grade.

Critical job class components must remain consistent with the level assignment.

b) Classification of LTC positions will be based upon the competency level required for the regular and on-going work assignment. Possession of competencies alone will not determine placement; the incumbent must regularly demonstrate the competencies required by the work assigned that produces the results required.

c) Review of the Position Description Form.

1) Position Detail. This identifies information that is current at the time of the request.

Career Area of the PCN noted on top of the form.

Department and Division.

Region/Section/Unit to which position reports.

Identifying organization code. This is the eight digit numerical code used in position control. The first two digits indicate the state agency. For some agencies the remaining six digits may indicate region, division, section.

Current Career Area Title. This is tied to the assigned Wage Grade.

Position Status: This describes the working hours/season of this position. Each type of status has a four-letter code used by the State's payroll system in position control. Refer to Section 07-V Addendum C for abbreviations.

Commercial Vehicle Driver's license. This indicates whether an incumbent must have a Commercial Drivers License (CDL) and endorsement in order to perform the work.

Firearms certification. This indicates if the incumbent of the position is required or permitted to possess or use firearms or ammunition in the course of business.

Strike Class. This indicates the State's determination of the level of essential services provided to conclude whether an incumbent can or cannot honor a strike should one be called.

2) Incumbent Detail. This identifies:

Name of incumbent (if any), or vacant.

Work address, phone/fax and email of incumbent.
Note: This may differ from the Section/Unit address.

Name, class title, PCN number and phone number of immediate supervisor.

3) Requested Position Action. This section identifies why the PDF is submitted and includes the following options:

a) New position.

b) Update.

c) Career Area Placement (level). This section describes what changes have occurred that require review.

d) Reason for the request. This section describes critical elements now in place which warrant the action.

4) Requested Staff Action. This is an optional field to identify possible HR action to be taken after the classification has been completed.

Additional information. This section indicates if action is taken under delegation of authority.

Personnel Use Only. The unnumbered blocks at the bottom of the front page state the final classification action.

Instructions

Supervisors and classifiers must be familiar with the information presented in the instructions because it explains how and why the competencies were developed and how they are to be used.

5) Career Area Designation. This identifies the specific occupational field (Driller, Environmental Services, etc.) to which the position belongs, and the level of work as determined by the application of the standard definitions (journey, lead, etc.)

6) Supervisory Authority. This identifies any lead or foreman responsibilities. This is not to be confused with the full supervisory level assigned to management. This should be consistent with the definition and level of work described elsewhere in the PDF.

7) Work Force. This identifies the specific positions and PCNs that perform work of comparable nature and level. An organization chart must be submitted.

8) Essential Career Area Core Competencies Certified. The supervisor certifies those competencies that apply to the career area and that are required of the work to be performed. While these can be a cut-and-paste operation from the specification, the rest of the PDF must support them.

9) Brief statement of essential purpose of the position, its essential functions and work products that will be measured and evaluated. This section is used to personalize what is unique to this position as to its location, results achieved and contributions required that support the level of work described.

10) Technical Competencies. This identifies the level of work (journey, lead) AND those unique to the work performed.

11) Certification requirements. This specifies what the incumbent must possess in order to perform the assigned work on a regular and recurring basis. Possession by an incumbent of a certificate not related to the on-going work or not essential to the work itself does not constitute a reason for classification action.

12) Special environmental or hazardous working conditions. This identifies what the incumbent is expected to cope with on a regular basis. The Physical Requirements and Potential

Hazards form is attached as a supplement and items selected should be reviewed to ensure they are consistent with items #10 and #12 of the PDF.

13) Proficiency in use of essential equipment. This identifies one of the essential elements tied to the nature and level of work. Access to equipment alone is not sufficient; the incumbent must be required to use equipment must be used and operated to the degree of skill and proficiency required on an on-going basis.

The employee verification section confirms that the employee is aware of the assigned duties, required competencies and management's expectations.

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The supervisory recommendation section allows for additional comments in support of the request. The Division director or designee certifies the completeness and accuracy of the PDF. HR segment documents the action the HR staff has approved.

3. Desk Audits

Another method for collecting job information is the desk audit, or on-site interview. This is an opportunity for the employee to explain the job directly to the classifier and for the classifier to gain first-hand knowledge of the job and of the organization in which the position is located. Suggested guidelines:

a. Keep the purpose of the desk audit in mind as you plan and conduct the interview. A significant portion of a typical audit is devoted to finding out how an individual's duties fit into organization's work processes.

b. Review available background material prior to the audit; specifically, review:

1) The PD.

2) The class specification.

3) The staffing chart (for apparent authority, responsibility and work relationships).

4) PDs of other positions in the organizational unit and comparable positions within the agency or statewide.

5) Information about the occupation.

In preparation also:

5) Make notes of particular issues and questions to be covered during the audit

6) Prepare a list of questions that will clarify the nature of the position.

7) Plan to obtain clarification of words, jargon, acronyms and general phrases such as: assist, coordinate, handle,

maintain, responsible for, participate, and process.

9) Review SOP 07-I-F, the section on job factors. These factors may suggest areas about which you should ask questions.

c. Schedule the audit:

1) If you are a Division of Personnel classifier, contact the agency human resources manager, or the agency's designated classifier.

2) The classifier contacts the appropriate manager before contacting the supervisor and the employee to schedule the audit and explain the purpose of the audit to the incumbent. If you want to see examples of work, mention it at this time.

3) Arrange a quiet place to conduct the interview.

4) Allow adequate time, usually about 90 minutes, to interview the employee.

5) Allow adequate time to speak with the supervisor, preferably after the incumbent interview.

d. At the interview, be sure to:

1) Maintain a friendly and open manner.

2) Explain the purpose of the interview (to clarify duties and responsibilities of the position in order to . . . .)

3) State questions clearly and tactfully.

4) Ask open-ended questions.

5) Ask if there is any job information the employee would like to add to what is on the PD.

6) Ask the employee to show you things mentioned in the PD that will clarify the duties, such as reports prepared, records maintained, equipment operated.

7) Ask the employee which is the most difficult and complex task and why. Ask the employee which is the most routine, repetitive task and why.

8) Ask the employee to explain any task not clearly described in the PD.

9) Ask the employee to describe examples of when approval or direction from the supervisor is necessary.

10) Summarize your understanding of the information from time-to-time.

11) Watch the employee perform work if possible.

12) Close the audit by asking if there is anything else about the job the employee wants to discuss. Provide a telephone number and e-mail contact the employee can use to provide additional information. Indicate that you may contact the employee or supervisor with additional questions for more information.

13) If possible, indicate when the results will be available.

e. Cautions during the audit:

1) Listen carefully, talk little.

2) If the conversation strays, draw it back to the duties and responsibilities of the position.

3) Be a neutral observer at this time. <u>Do not indicate any decision</u> on the classification of the position or agreement or disagreement with the incumbent or supervisor's statements. The recommendations you make will require careful analysis of the desk audit and other information and the approval of the Classification Section manager or the individual to whom classification authority is delegated.

4) Take complete notes. Ask for full names and formal job titles of those employees mentioned. Document in your notes the PCN, job title and agency of all those mentioned.

f. Interview the supervisor: A significant portion of the discussion may be to determine how the incumbent's duties fit into the work process of the organization

1) Verify critical information received.

2) Clarify duties that remain unclear.

3) Clarify reporting relationships, authority, work flow.

4) Determine when the supervisor expects the employee to come to the supervisor for approval or direction.

4. Telephone Interview

Follow the procedures listed above for in-person desk audits.

5. Supervisory Interviews

A supervisor may be your only source of position information regarding new or vacant positions, or when a reorganization is being implemented. In general, a supervisor is best at providing occupational and organizational information, providing an overview of the position, and placing the position into context within the section and agency. Be sure to ask about roles of other positions with which the position interacts.

6. Group Interviews

In gathering information for a study of a class or class series, a group audit may be more efficient. The interview must be planned carefully with key questions which encourage group discussion. For example, a group meeting could yield a comprehensive list of tasks for a particular job. Flip chart paper taped to the wall to record discussion can be useful.

7. Statutes and Manuals

Review statutes, regulations, training manuals, SOP manuals or departmental policies and procedures used by the position. Departmental web sites should be noted. These and other sources may provide information about the work and the knowledge and training required. If you review these, reference them in the analysis and, if necessary, obtain copies for the files.

8. Specialized Questionnaires

A tailored questionnaire may be helpful when studying a class series that has many positions. The questionnaire allows the classifier to gather information from a larger sample of employees than would otherwise be possible.

9. Subject Matter Experts (SMEs)

Small group meetings with subject matter experts (usually supervisors and experienced employees) are helpful to describe the work, define levels of complexity, identify critical tasks ; identify knowledge, skills, abilities and work behaviors required for a job; and critique drafts of class specifications.

F. Formal Job Analysis Procedures

Formal job analysis procedures may include a combination of interview, questionnaire, and subject matter expert group techniques. The commonality among all formal job analysis models is that the results clearly demonstrate job relatedness of the minimum qualifications and/or examining device, in that they:

1. Systematically document job tasks.

2. Determine the frequency that a task is performed, assess the relative importance of tasks, and evaluate how critical each task is to successful job performance.

3. Identify the Knowledge, Skills, and Abilities (KSAs) needed to perform the work and demonstrate their relationship to the tasks.

4. Distinguish between KSAs required at entry and KSAs required for full performance of the job.

5. Establish the relative importance of specific work (in rank order) in performing the job as a whole.

6. Document evidence that shows a logical relationship between the KSAs and the minimum qualifications and the examining device.

G. Documentation

Back-up documentation will be required to demonstrate job relatedness, for newly written minimum qualifications or narrowed minimum qualifications. The documentation should give some rationale and analysis of the product the classifier and the managers have developed.

Ideally, documentation will provide a step-by-step record of how employment procedures were developed. The purpose of documentation is to establish an audit trail that will help show the factual basis for the conclusions drawn and procedures developed. Here are general guidelines for proper documentation:

1. Identify the sources of data for each step of the process

2. Indicate the basis for selecting those sources

3. Summarize the significant facts developed, and,

4. Explain the way in which conclusions were derived from significant findings.

Classifiers who write or revise class specifications should also record the sources of information, such as,

1. The types of background material reviewed during the study and the jobs to which they apply.

2. A list of PDs which are good examples of the typical positions or are the only examples of particular kinds of work.

3. Dates of meetings held to discuss the need for class specification revision or a new job class.

4. Names and titles of managers and experts who attended meetings and provided information.

5. Number, level and types of jobs discussed.

6. Notes on what was discussed and a copy of any resulting document.

H. Uses for the Data

The job data gathered is available for evaluation and use in classifying individual positions (see SOP 07-V), writing class specifications (see SOP 07-III), or as a reference for training needs.